

SPECIAL EMPHASIS PROGRAM REVIEW

(REV 08/03)

To: Frank J. Waltos, HAAM-10
Small Business Advisor

PR No. _____

From: LISE LYLES
Contract Specialist

RFP No. DTFH61-03-R-00128

Contract No. DTFH61- _____

The attached material is presented for review pursuant to TAM 1219: (select B2, B3, B4, and C as applicable)

☐ ~~_____~~ B.2 Procurement method: (FAR 19.402)
date requested ☐ 8(a) Sole source to: ^[1]

☐ 8(a) Competitive set-aside ^[1]
☐ HUBzone competitive set-aside

☐ Small Business competitive set-aside
☐ Full and Open competitive or Sole Source ^[2]

☐ Concur ☐ Non-concur (see comments below)

Frank J. Waltos

Date

NOTES: ^[1] For new requirements, attach a copy of the PR and provide an e-copy of the SOW.
^[2] Attach a complete copy of PR and Program Office justification for F&O competition or SS.

☐ B.3 NAICS Code: (FAR 19.303) No. _____ SB Size Standard: _____
date requested ☐ Concur ☐ Non-concur. Recommend No. _____ SB Size Standard: _____

Frank J. Waltos

Date

☐ B.4 Contract Bundling: (FAR 7.107)
date requested ☐ No (per FAR 2.101. Supporting data attached when over \$10 Million)
☐ Yes (per FAR 2.101. Justification attached)
☐ N/A (requirement is set-aside for Small Business)

☐ Concur ☐ Non-concur (see comments below)

Frank J. Waltos

Date

☒ 3/26/04 C. Subcontracting Plan: (FAR 19.7)
date requested ☒ Required (copy attached)
☐ None planned (Offeror statement attached)

☒ Concur ☐ Non-concur (see comments below)

Frank J. Waltos

Date

COMMENTS:

DOT OSDBU Representative (if applicable)

Date

☐ Concur

☐ Non-concur

SBA Procurement Center Representative (if applicable)

Date

☐ Concur

☐ Non-concur



U.S. Department
of Transportation

**Federal Highway
Administration**

Memorandum

Subject: Subcontracting Plan Review
RFP No. DTFH61-03-R-00128

Date: March 26, 2004

From: Lise S. Lyles, HAAM20-A
Contract Specialist

In Reply Refer To: HAAM20-A

To: Frank Waltos
SDB Representative

Attached is a Subcontracting Plan from Battelle for your review. RFP No. DTFH61-03-R-00128 was issued on November 17, 2003 and closed on December 19, 2003. The evaluation criteria in Section M of the RFP state that the Government will consider the following information in evaluating the offeror's proposed SDB Participation: (1) percentage of total contract value; (2) complexity of work to be performed by SDBs (i.e. work considered technology or research intensive); (3) specific identification of SDB subcontractors with associated work; and (4) reasonableness of the offeror's proposed plans and procedures for attaining the proposed SDB targets.

If you approve the Subcontracting Plan, please sign page 6 and return to me.

Subcontracting Plan



REVISED

Small Business Subcontracting Plan

(Submitted in Accordance with Public Law 99-661; and Public L. 103-355)

DUNS 007901598

Contractor Name: Battelle Memorial Institute

Address: 505 King Avenue, Columbus, Ohio 43201-2693

Type of Organization: Non-Profit Research and Development

Proposal No. CP057975/Title: Integrated Program for the Interactive Highway Safety Design Model and Safety Research

Client/Procurement Manager: U.S. DOT-FHWA/ Lise Lyles

Name of Individual Who Prepared This Plan: Warren K. Weaver/614-424-4515

Proposed Contract Performance Period: 36 months

Proposed Contract Amount: \$ 1,309,813

PLAN ELEMENTS

A. Objective

It is Battelle's intent and Corporate policy to assist Small Business (SB), Veteran-Owned Small Business (VOSB), Service-Disabled Veteran-Owned Small Business, HUBZone Small Business, Small Disadvantaged Business (SDB) concerns, and Women-Owned Small Business (WOSB) concerns, to the maximum extent practicable consistent with sound business practices and the efficient performance of our contract requirements. We intend to give such business concerns a fair and equitable opportunity to compete for business when consistent with our contractual obligations. Consistent with Procurement System Procedures (PSP) 1510-032, Battelle is committed to locate such concerns and to ensure an equitable opportunity in competing for subcontracts that are contemplated in the performance of this subcontract.

B. (a) Percentage Goals

The percentage goals expressed in terms of percentage of total planned subcontract dollars are to:

- (i) Obligate 71.6% to SB concerns. *
- (ii) Obligate 0.1% to VOSB concerns.
- (iii) Obligate 0.0% to Service-Disabled Veteran-Owned Small Business.
- (iv) Obligate 7.2% to SDB concerns.
- (v) Obligate 0.0% to HUBZone SB concerns.
- (vi) Obligate 0.4% to WOSB concerns.
- (vii) Obligate 0.0% to HBCU/MI concerns.
- (viii) Total percentage obligated to large business 28.4%

(b) The following dollar values correspond to the percentage goals shown in (a) above.

- (i) Total dollars planned to be subcontracted to SB: \$405,172. *
- (ii) Total dollars planned to be subcontracted to VOSB: \$448.
- (iii) Total dollars planned to be subcontracted to Service-Disabled VOSB: \$448.
- (iv) Total dollars planned to be subcontracted to SDB: \$40,967.
- (v) Total dollars planned to be subcontracted to HUBZone SB: \$0.0.
- (vi) Total dollars planned to be subcontracted to WOSB: 2,209.
- (vii) Total dollars planned to be subcontracted to HBCU/MI: \$0.0
- (viii) Total dollars planned to be subcontracted to large business: \$160,638.

(c) These dollar amounts are based on an estimate of \$565,810 for subcontract awards issued under any prime contract or subcontract awarded to Battelle and resulting from this submittal. Of course the actual value of subcontracts may vary depending on the nature and amount of tasks awarded to Battelle. Battelle does, however, commit to the associated goal percentages no matter the value of awards it receives. The percentages are based on program manager estimates of the hours needed to satisfactorily complete all requirements of the prime contract.

(e) To establish the goals for SB/Service-Disabled Veteran-Owned Small Business/ SDB/ VOSB/HUBZone SB/WOSB concerns under this project, Battelle utilized a calculation of anticipated direct-purchased items in conjunction with an allocation of necessary indirect purchases. The indirect purchases are based upon the unburdened direct labor dollars associated with the subject proposal.

Battelle maintains historical records of its percentage of indirect costs that are contracted out to each category of business on a rolling 12-month basis and applies those percentages to the total indirect dollars included in our proposals. Please note that these percentages are updated monthly.

C. The following individual will administer the subcontracting program:

* Total of Small Business sub-elements i, ii, iii, iv, v, vi, vii.

Name: Mr. Warren K. Weaver
Telephone No.: 614-424-4515
Title: Small Business Liaison Officer (SBLO)

This individual's specific duties, as they relate to Battelle's program, are general overall responsibility for review, monitoring, and execution of the plan, including, but not limited to,

Obtaining SB/Service-Disabled Veteran-Owned Small Business/ SDB/ VOSB/HUBZone SB/WOSB sources from all applicable Government agencies such as the Small Business Administration (SBA); Assuring inclusion of SB/Service-Disabled Veteran-Owned Small Business/ SDB/ VOSB/HUBZone SB/WOSB concerns in all solicitations where appropriate;

Attending or arranging for attendance at business opportunity workshops, minority business enterprise seminars, trade fairs, etc.;

Conducting or arranging for conduct of motivational training for purchasing and subcontracts personnel pursuant to the intent of Public Law 103-355;

The SBLO supports Battelle's Proposal Center by guiding and advising program managers concerning solicitation requirements and location of SB/Service-Disabled Veteran-Owned Small Business/ SDB/ VOSB/HUBZone SB/WOSB concerns, and training Purchasing staff involved in the acquisition process.

Mr. Weaver is involved in the development of Battelle's RFPs and is structuring the RFPs to facilitate SB/Service-Disabled Veteran-Owned Small Business/ SDB/ VOSB/HUBZone SB/WOSB concerns participation whenever possible within any program constraints.

Monitoring attainment of proposed goals; and

Reviewing solicitations to remove statements, clauses, etc. that may tend to prohibit SB/Service-Disabled Veteran-Owned Small Business/ SDB/ VOSB/HUBZone SB/WOSB participation.

D. Description of Efforts for Equitable Opportunity/Methods Used to Identify Possible Sources

As an aid in preparing future proposals, Battelle has requested brochures from hundreds of SB/Service-Disabled Veteran-Owned Small Business/ SDB/ VOSB/HUBZone SB/WOSB concerns whose qualifications appear to be appropriate for Battelle's programs. When Battelle receives these brochures, they are sent to the suitable departments where they are carefully reviewed and considered as potential subcontractors and vendors for Battelle's projects. Copies of these submittals are on file in the SBLO's office.

Battelle utilizes the Procurement Marketing and Access Network (PRO-net) as its primary source of vendor representation for SB/Service-Disabled Veteran-Owned Small Business/ SDB/ VOSB/HUBZone SB/WOSB concerns. Consistent with FAR 19.304, the SBLO uses the PRO-net to evaluate the competence, ability, experience and capacity available in SDB, WO/SDB, HUBZone SDB, and VOSB/SDB concerns on all proposal efforts.

Battelle does not manufacture goods or products; therefore, we do not have a formal make-or-buy program. However, developmental items are sometimes made on a one-time basis and consideration is given SB/Service-Disabled Veteran-Owned Small Business/ SDB/ VOSB/HUBZone SB/WOSB concerns in decisions concerning the purchase of component parts.

Battelle monitors the progress of all small business goals, and on a semi-annual basis program managers are provided status reports of goal attainment for SF 294 reporting purposes. The SBLO discusses such progress with the program manager on an as-needed basis to assure that Battelle is in compliance with its prime contract goals. Battelle also monitors and evaluates those plans submitted by Battelle's subcontractors.

Battelle will maintain records of performance for audit purposes and keep the Battelle staff informed on changes in Government programs and Battelle's performance toward meeting goals.

E. Clause Flowdown

Battelle agrees that FAR 52.219-8, "Utilization of Small Business Concerns", will be included in all subcontracts which offer further subcontracting opportunities, and Battelle does ensure that all subcontractors (except small business) who receive subcontracts in excess of \$1,000,000 in the case of a contract for the construction of any public facility, or in excess of \$500,000 in the case of all other contracts, will be required to adopt a subcontracting plan similar to this one.

F. Periodic Reports

Consistent with FAR 52.219.9(j)(1)(2), Battelle will submit the SF 295 and SF 294 reports as required by the subcontract and as prescribed by the Contracting Officer and will insist that subcontractors required to submit subcontracting plans to Battelle also agree to submit SF 294 and SF 295 reports to Battelle. Battelle will cooperate in any studies or surveys and submit periodic reports as may be required by the contracting agency or the SBA in order to determine the extent of compliance by Battelle with the subcontracting plan during the life of the subcontract.

G. Records

Battelle will establish and maintain the record keeping requirements of FAR 52.219-9(d)(11). Including records on subcontract solicitations resulting in awards of more than \$100,000, indicating whether Small Business or its sub-element concerns were solicited before award.

Battelle's internal SBA system requires data entry on all vendors by business type including all sub-elements of small business (SDB, WOB, HUBZone, VOSB, SD-VOSB) and the (27) possible combinations thereof, for reporting under paragraph F. above. The vendor data is updated for any business status change by both purchasing and subcontracts, and verified by representation and certification documents when applicable.

H. Outreach Efforts

Mentor-Protégé- The Department of Defense (DoD) Mentor-Protégé Program selected Battelle as a recipient of the 2002 DoD Nunn-Perry Award. This prestigious award was made in recognition of Battelle's outstanding accomplishments in the areas of quality technical assistance, return on investment, and protégé development.

Battelle maintains contacts with minority and small business trade associations, and regional business development corporations, and participates in training workshops for Service Disabled and Veteran-Owned Small Businesses, and HUBZone workshops.

Battelle has attended and will continue to participate in various trade fairs, meetings and conventions that deal with Public Law 103-355. Battelle will interview and visit, as appropriate, newly located SB/Service-Disabled Veteran-Owned Small Business/ SDB/ VOSB/HUBZone SB/WOSB concerns requesting to do business with Battelle.

Battelle maintains an ongoing relationship with the National Association for Equal Opportunity in Higher Education (NAFEO); and Ohio's two HBCUs (Central State University, and Wilberforce University) both located in Wilberforce, Ohio.

Consistent with FAR 19.704(a), and FAR 19.705-4, Battelle will continue outreach and attendance at SB/Service-Disabled Veteran-Owned Small Business/ SDB/ VOSB/HUBZone SB/WOSB concerns procurement conferences and trade fairs.

Battelle is scheduled to attend the Joint Spring Council Training Conference of the DOD Regional Councils, January 23-24, 2003 in St. Petersburg, FL.

Signed: Warren K. Weaver

Typed Name/Title: Warren K. Weaver, Small Business Liaison Officer

Date: 3/25/2004

Plan Accepted by: _____
(Government Contracting Officer)

Date: _____

Proposal No. CP057975R

Title: Integrated Program for the Interactive Highway Safety Design Model and Safety Research

As part of any Small Business Plan submitted, Battelle agrees to factor Targets for SDB Participation consistent with the following:

Program Targets for SDB Participation (if applicable)

NAICS Industry Subsector : **541 Professional, Scientific, and Technical Services**

	SDB Percentage of Total Contract Value	SDB Dollars
Total Contract Value \$ 1,309,813		
SDB Participation	<u>3.1 %</u>	<u>\$40,967</u>

MRI	128,086	-	-	-	-	-	-	-	-	-
Barry Kantowitz	-	36,000	-	-	-	-	-	-	-	-
William Levison Associates	-	152,424	-	-	-	-	-	-	-	-
STI	-	151,043	-	-	-	-	-	-	-	-
LISBOA	-	-	39,503	-	-	-	-	-	-	-
	-	-	-	-	-	-	-	-	-	-
	-	-	-	-	-	-	-	-	-	-
Total Direct Purchases										
Total Indirect Purchases										
Total Purchases										
Percentage of Total										

SPECIAL EMPHASIS PROGRAM REVIEW

(REV 08/03)

To: Frank J. Waltos, HAAM-10
Small Business Advisor

PR No. 77-77-3343

From: MARK GAZILLO
Contract Specialist

RFP No. DTFH61- 03-R-00125

Contract No. DTFH61- 04-D-00002
~~04-D-00003~~

The attached material is presented for review pursuant to TAM 1219: (select B2, B3, B4, and C as applicable)

10/2/03 B.2 Procurement method: (FAR 19.402)
date requested ☐ 8(a) Sole source to: ^[1]

☐ 8(a) Competitive set-aside ^[1]
☐ HUBzone competitive set-aside

☐ Small Business competitive set-aside
☒ Full and Open competitive or Sole Source ^[2]

☒ Concur ☐ Non-concur (see comments below)

Frank J. Waltos 10/02/03
Date

NOTES: ^[1] For new requirements, attach a copy of the PR and provide an e-copy of the SOW.
^[2] Attach a complete copy of PR and Program Office justification for F&O competition or SS.

 B.3 NAICS Code: (FAR 19.303) No. SB Size Standard:
date requested ☐ Concur ☐ Non-concur. Recommend No. SB Size Standard:

Frank J. Waltos
Date

10/2/03 B.4 Contract Bundling: (FAR 7.107)
date requested ☒ No (per FAR 2.101. Supporting data attached when over \$10 Million)
☐ Yes (per FAR 2.101. Justification attached)
☐ N/A (requirement is set-aside for Small Business)

☒ Concur ☐ Non-concur (see comments below)

Frank J. Waltos 10/02/03
Date

3/26/04 C. Subcontracting Plan: (FAR 19.7)
date requested ☒ Required (copy attached)
☐ None planned (Offeror statement attached)

☒ Concur ☐ Non-concur (see comments below)

Frank J. Waltos 03/29/04
Date

COMMENTS:

DOT OSDBU Representative (if applicable)

Date

☐ Concur

☐ Non-concur

SBA Procurement Center Representative (if applicable)

Date

☐ Concur

☐ Non-concur